

U.S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES  
WASHINGTON, D.C. 20202-2575

**FY 2010 APPLICATION KIT FOR NEW GRANTS  
UNDER  
THE NATIONAL INSTITUTE ON  
DISABILITY AND REHABILITATION RESEARCH**

**SMALL BUSINESS  
INNOVATION RESEARCH PROGRAM  
PHASE II  
CFDA NUMBER: 84.133S-2**



FORM APPROVED  
OMB No. 1820-0685, EXP. DATE: 6/30/2012  
ED FORM 424, OMB APPROVED: 1820-0685

**DATED MATERIAL - OPEN IMMEDIATELY**

**CLOSING DATE: MAY 17, 2010**

## **ESTIMATED PUBLIC REPORTING BURDEN**

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0685. The time required to complete this information collection is estimated to average 50 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:**

U.S. Department of Education  
Washington, D.C. 20202-4651

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:**

Lynn Medley, Management/Program Analyst  
U.S. Department of Education  
NIDRR; Planning, Budget and Evaluation  
Room 6027 PCP, 400 Maryland Ave., SW  
Washington, DC 20202.

# CONTENTS

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**Dear Applicant Letter**

**e-Application Submission Procedures and Tips for Applicants .....Section A**

**PROGRAM OVERVIEW .....Section B**

- Introduction
- Authorization
- Applicant Eligibility
- Key Dates and Award Information
- Recent Changes in Legislation

**AGENCY CONTACTS .....Section C**

**DEFINITIONS .....Section D**

**GRANT APPLICATION PREPARATION INSTRUCTIONS AND REQUIREMENTS ..... Section E**

- Application Requirements
- Protection of Information in Applications
- Limitations on Length of Application
- Phase II Application Guidance (Including Protection of Human Subjects Information)
- DUNS Number Instructions

**METHOD OF SELECTION AND EVALUATION CRITERIA ..... Section F**

- Introduction
- Evaluation Criteria for Phase II
- Release of Grant Application Review Information

**CONSIDERATIONS.....Section G**

- Reports
- Government Performance and Results Act
- Innovations, Inventions, and Patents
- Subcontracting Limits – Research and Analytical Work
- Joint Ventures or Limited Partnerships
- Cost-Sharing
- Profit/Fee
- American Made Equipment and Products
- Standard Terms and Conditions
- Additional Information

**APPLICATION TRANSMITTAL INSTRUCTIONS.....Section H**

**SCIENTIFIC AND TECHNICAL INFORMATION SOURCES ..... Section I**

- CHECKLIST

## DEAR APPLICANT LETTER

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Dear Phase I Grantee:

As a Fiscal Year (FY) 2009 Small Business Innovation Research (SBIR) Program Phase I grantee, you are invited to submit an application for an FY 2010 Department of Education SBIR Phase II grant. **Please note that only FY 2009 Department of Education SBIR Phase I grantees are eligible to apply for FY 2010 SBIR Phase II funding. Further note that FY 2009 Phase I grantees may apply for Phase II funding for their currently funded Phase I grants in FY 2010 but not in subsequent fiscal years.**

In preparing your application, the requested performance period for an SBIR Phase II grant should not exceed two years. The total maximum amount of requested Federal funding should not exceed \$500,000 for the performance period of two years. Separate budgets should be provided for year one and year two of the performance period. Please include with your application a two-year detailed budget narrative description for each budget line item. The two-year maximum of \$500,000 for Phase II grants should include both direct and indirect costs and fees. Applicants are allowed the option to distribute the \$500,000 maximum award amount for the two-year performance period in equal amounts for each budget period or to request an alternative distribution of funds over a two-year performance period. Applications will be evaluated to determine the extent to which the budget is adequate to support the proposed project. Your application will not be reviewed if it exceeds the total maximum funding of \$500,000 for a two-year performance period. The second year of the award will be approved for funding contingent upon submission of an annual performance report that demonstrates adequate progress in the first year of the award.

Please note the following:

- **ELIGIBLE APPLICANTS:** Phase II applicants must be current Phase I grantees, with Phase I findings that appear sufficiently promising.
- **PURPOSE:** Phase II must expand on the results of and further pursue the development of the Phase I project. Phase II is the principal research or research and development effort. It requires a more comprehensive application than the Phase I application and must describe the effort in detail including its commercial potential.
- **MAXIMUM AWARD:** \$500,000.
- **PROJECT PERIOD:** Should not exceed two (2) years with a maximum two (2) year total of \$500,000.
- **THE CLOSING DATE (APPLICATION DEADLINE): MAY 17, 2010.**

**HOW TO ACCESS THE ELECTRONIC APPLICATION PACKAGE:** Because SBIR Phase II applications are limited to a subset of the Phase I applicants, no Funding Opportunity synopsis will be posted on Grants.gov "FIND." An application for an award must be submitted electronically using e-applications, accessible through the Department's e-Grants Web site at: <http://e-grants.ed.gov> (see Section A and Section H). Or you may request an exception to the electronic submission requirement (see Section A and Section H).

**E-GRANTS APPLICATION SUBMISSION:** Applications must be submitted electronically using e-application, accessible through the Department's e-Grants Web site at: <http://e-grants.ed.gov>. Your electronic submission must be uploaded on the closing date of **May 17, 2010** by 4:30:00 pm, Washington DC time. We strongly suggest that you carefully check your submission to ensure that you have attached the correct files in the appropriate fields. For additional information on electronic submission procedures, see the e-Application Submission Procedures and Tips for Applicants - Section A. You may not mail your application directly to the Department.

- **EXCEPTION TO E-GRANTS APPLICATION SUBMISSION REQUIREMENT:** We will reject your application if you submit it in paper format unless you qualify for one of the exceptions to the electronic submission requirement. To apply for one of these exceptions, **you must** submit, no later than two weeks before the deadline date, a written statement to the Department that you qualify (see the e-Application Submission Procedures and Tips for Applicants – Section A). If you receive an exception to submitting your application electronically it must be postmarked by the closing date of **May 17, 2010**.

If you receive an exception, follow the Application Transmittal Instructions for submitting in paper which are found in section H. An electronic (disk) copy should be submitted with the paper application. The original of the application should be secured with a binder clip to facilitate any additional copying of the application that may be required.

- **FUNDING OPPORTUNITY NUMBER:** **ED-GRANTS-84133-02.**
- **COPIES OF THE APPLICATION:** If you qualify for an exception to the electronic submission requirement, and may submit your application in paper format, current Government-wide policy requires the submittal of an original and two (2) copies of the application. In addition to the submittal of the required original and two (2) copies, we ask that you voluntarily submit nine (9) additional copies to facilitate the peer review process (**12 copies in all**). **If you are submitting your application electronically, you do not need to submit paper copies of the application.**
- **FORMAT FOR APPLICATIONS:** Please note that additional information regarding the formatting of applications has been included in Section E of this package: Grant Application Preparation Instructions and Requirements.
- **PROTECTION OF HUMAN SUBJECTS IN RESEARCH:** The discretionary grant Application Form 424 (ED Supplement to the SF 424) requires applicants to indicate whether they plan to conduct research involving human subjects at any time during the proposed project period. The Protection of Human Subjects in Research Attachment is an integral part of the ED 424 form (ED supplement to the SF 424). Additional information on completing the protection of human subjects item is also available and can be accessed on the Internet at:

<http://www.ed.gov/about/offices/list/ocfo/gcsindex.html>  
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>

**NOTE:** Please forward this entire application package to the individual or office responsible for preparing the application, as they will need the entire package to complete the grant application.

Thank you for your interest in this program.

Sincerely,

*//S//*

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Ruth Brannon  
Delegated the authority to carry out the  
functions of the NIDRR Director

# **SECTION A**

## **E-APPLICATION SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS**

## IMPORTANT – PLEASE READ FIRST

# U.S. Department of Education E-APPLICATION SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

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<http://e-grants.ed.gov>

To facilitate your use of e-Application, this document includes important application preparation and submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education. Please read and follow these step-by-step directions to create and submit your application.

### ATTENTION

Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants help desk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

Step 1 – **Determine if your program is accepting electronic applications.** The Federal Register Notice of each program will indicate whether the program is accepting e-Applications as part of the Department's e-Application program. Here is a link to the Department's Federal Register notices:  
<http://www.ed.gov/news/fedregister/announce/index.html>. Additional information on the Department of Education's grant programs can be found at  
<http://www.ed.gov/about/offices/list/ocfo/grants/grants.html>.

Step 2 – **Register in e-Application to access the application package.** If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page <http://e-grants.ed.gov/>, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button.


If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

Note the following browser compatibility problems. The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, Firefox 2.2 (along with later versions of IE, Netscape and Firefox). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.

Step 3 - **Add Application Package to your Start Page.** From your Start Page, click on the "Add" button to see the list of application packages. Click on a specific package link



on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).

- Step 4 - **Begin the Application.** Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.
- Step 5 - **Fill out Forms.** Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.
- Step 6 - **Upload File(s) for Narrative Responses.** Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .pdf files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.
- Step 7 - **Verify Information/Print Application.** Verify your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon  next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in PDF by clicking on the "Request Complete Package in PDF" on the e-Application PR/Award page. A second window will open informing you that your request has been received and that you will be notified via e-mail once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the e-mail, click on the link in the text of the message and enter your username and password in the new window. This will open the PDF file from which you can view/print the entire package. In addition, a blank complete package in PDF will be accessible from the package page in e-Application.
- Step 8 - **Submit your Application.** Only authorized individuals for your organization can submit an application. Please check with your Authorizing Representative or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print and keep this e-mail for your records. [Reminder: applications must be submitted before 4:30:00 p.m., Washington, DC time, on the deadline date for applications. e-Application will not accept your application if you try to submit it after 4:30:00 on the deadline date.]
- Step 9 - **Fax the signed SF 424 Cover Page (or Program Specific Cover Page).** Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page (or Program Specific Cover Page), and fax it to the Application Control Center (202) 245-6272 within 3 business days of submitting your e-Application.

**NOTE:** For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of

the e-Application Home Page. Both the User Guide and Demo can be found at <http://e-grants.ed.gov>.

## **OTHER SUBMISSION TIPS**

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- 1) **SUBMIT EARLY** - We strongly recommend that you do not wait until the last day to submit your application. The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 p.m., Washington, DC time on the deadline date, the e-Application system will not accept it.
- 2) If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

- 3) **Dial-Up Internet Connections** - When using a dial-up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial-up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)

## **ATTACHING FILES – ADDITIONAL TIPS**

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Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.
2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, \*, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
3. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file

attachments and can result in difficulties opening the files. Please note that each file attachment in e-Application has a file size limitation, which is anywhere from 2 to 8 MB, and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

# **SECTION B**

## **PROGRAM OVERVIEW**

# PROGRAM OVERVIEW

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## U.S. Department of Education Small Business Innovation Research (SBIR) Program Announcement for FY 2010 Phase II

### A. Introduction

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The purpose of the Small Business Innovation Research (SBIR) Program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research and research and development needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation.

Phase II of the SBIR Program is designed to expand on the results of and to further pursue the development of a Phase I project. Phase II of the program is the principal research or research and development effort. It requires a more comprehensive application, outlining the effort in detail including the commercial potential. Phase II applicants must be Phase I grantees with findings that appear sufficiently promising as a result of Phase I. Applications are evaluated based on published criteria by panels of experts. The Phase II funding vehicle is a grant.

*Phase II grants should not exceed a period of **two years**. **Their total, maximum, allowable Federal funding level must not exceed \$500,000 for the two year performance period**. Phase II grants may include a reasonable profit/fee as part of the amount of funds awarded per year. The reasonable profit/fee must be included within the \$500,000 maximum funding level allowed. Applicants are allowed the option to distribute the \$500,000 maximum grant award amount for a two year performance period in equal amounts for each budget period or to request an alternative distribution of funds.*

### B. Authorization

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P.L. 106-554, the “Small Business Reauthorization Act of 2000, H.R. 5667” (the “Act”) was enacted on December 21, 2000. The Act requires certain agencies, including the Department of Education, to establish SBIR programs by reserving a statutory percentage of their extramural research and development budgets to be awarded to small business concerns for research or research and development through a uniform, highly competitive, three-phase process. The Act further requires the Small Business Administration (SBA) to issue policy directives for the general conduct of the SBIR programs within the Federal Government.

Note. -- The Small Business Innovation Research Policy Directive Notice was published in the “Federal Register”/ Vol. 67, No. 185 / Tuesday, September 24, 2002 / pages 60072 – 60098. It is also available from the Small Business Administration’s SBIR website at:

<http://www.sba.gov/sbir/sbirpolicydirective.html>

The SBIR policy directive guides the information and requirements set forth in this application package.

Funding for those awards issued as a result of this solicitation come from:

- Title II of the Rehabilitation Act of 1973, as amended, Pub. L. 105-220 (29 U.S.C. 760-764).

### **C. Applicant Eligibility**

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Each organization submitting an application **must** qualify as a **small business concern** as defined by the Small Business Administration. The complete definition is included in “Definitions.”

Consultative or other arrangements between such firms and universities or other non-profit organizations are permitted, but the small business must serve as the grantee.

In addition, the **primary employment of the principal investigator must** be with the small business firm at the time of award and during the conduct of the proposed research. That is, **more than one-half of the principal investigator’s working time must be spent with the small business firm during the period of performance**. Also, the research or research and development work **must** be performed in the United States. “United States” means the 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

**Joint ventures** are permitted, provided that the business entity created qualifies as a small business in accordance with the Small Business Act, 15 U.S.C. 631. For **Phase II**, the proposing firm must perform at least one-half of the research and/or analytic effort. Furthermore, the total of all consultant fees, facility leases or usage fees, and other subcontracts or purchase agreements may not exceed one-half of the total funding agreement price.

All Phase I work **must** be completed by the closing date of this Program Announcement before a Phase II application is evaluated.

#### **SBIR Eligibility Checklist**

- ☒ For-profit small business concern.
- ☒ At least 51% U.S.-owned and independently operated.
- ☒ Small business located in the U.S.
- ☒ Principal investigator’s primary employment with small business during the project.
- ☒ 500 or fewer employees.

Department of Education staff will examine all SBIR grant applications with the above considerations in mind. If it appears that an applicant organization does not meet the eligibility requirements, we will request an evaluation by the SBA. Under circumstances in which eligibility is unclear, we will not make an SBIR award until the SBA provides a determination.

### **D. Key Dates and Award Information**

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The Department of Education is required under P.L. 106-554 to participate in the Small Business Innovation Research (SBIR) program. The Government’s obligation under this award is contingent

upon the availability of appropriated funds from which payments are made. The Department is not bound by the estimates given below.

The Department of Education expects to make approximately five (5) Phase II grant awards ranging from \$250,000 to \$500,000 for a two (2)-year project period beginning in 2010 for CFDA number 84.133S-2. The Department expects to announce awards no later than September. The project start date should be October 1, 2010. Successful applicants have up to 24 months to carry out the proposed Phase II effort.

**OSERS is under no obligation to fund any specific application and is not responsible for any monies expended by the applicant before an award.**

## **E. Recent Changes in Legislation**

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**Recent Changes in Legislation.** The authorizing legislation (P.L. 106-554, the “Small Business Reauthorization Act of 2000, H.R. 5667” of the Consolidated Appropriations Act of 2001) was enacted on December 21, 2000. The law requires two (2) significant programmatic changes especially pertinent to Phase II applicants:

1. **Commercialization Plan** -- A succinct commercialization plan must be included with each proposal for an SBIR Phase II award moving toward commercialization. More specific information is included in this Phase II program announcement.
2. **Data Collection Requirement** – Each Phase II applicant will be required to provide information for the Small Business Administration’s (SBA) Tech-Net Database System. Phase II awardees are required to update the appropriate information on the award in the Tech-Net database upon completion of the last deliverable under the funding agreement. The firm is also requested to update voluntarily the information in the Tech-Net database annually thereafter for a minimum period of five (5)-years. (<http://technet.sba.gov>)

# **SECTION C**

## **AGENCY CONTACTS**



## AGENCY CONTACTS

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All questions about the OSERS/NIDRR SBIR program should be directed to:

**Lynn Medley**

Program/Management Analyst  
US Department of Education  
Rm. 5140 – PCP  
400 Maryland Avenue  
Washington, D.C. 20202

**Phone:** (202) 245-7338

**Email:** Lynn.Medley@ed.gov

The following table includes points of contact information for the ED awarding component:

AWARDING COMPONENT CONTACT INFORMATION		
AWARDING COMPONENT	PROGRAM OFFICE CONTACT	GRANTS MANAGEMENT CONTACT
<b>Office of Special Education and Rehabilitative Services (OSERS)/National Institute on Disability and Rehabilitation Research (NIDRR)</b> <ul style="list-style-type: none"> <li>• <a href="http://www.ed.gov/about/offices/list/osers">http://www.ed.gov/about/offices/list/osers</a></li> <li>• <a href="http://www.ed.gov/about/offices/list/osers/nidrr">http://www.ed.gov/about/offices/list/osers/nidrr</a></li> </ul>	<b>Delores Watkins</b> Phone: (202) 245-7568 E-mail: Delores.Watkins@ed.gov	<b>Lynn Medley</b> Phone: (202) 245-7338 E-mail: <a href="mailto:lynn.medley@ed.gov">lynn.medley@ed.gov</a>

Address questions pertaining to **human subjects research issues** to:

Coordinator, Protection of Human Subjects  
Grants Policy and Oversight Staff  
U.S. Department of Education  
Room 4C112 – FB6  
400 Maryland Avenue, SW  
Washington, DC 20202

**Phone:** Jeffery Rodamar

**Email:** 202-260-3353

# **SECTION D**

## **DEFINITIONS**

## DEFINITIONS

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The Small Business Administration (SBA) developed the following definitions relevant to the Small Business Innovation Research (SBIR) Program:

### **Applicant**

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The organizational entity that, at the time of award, will qualify as a Small Business Concern (SBC) and that submits a contract proposal or a grant application for a funding agreement under the SBIR Program.

### **Affiliate**

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This term has the same meaning as set forth in 13 CFR Part 121 - Small Business Size Regulations, §121.103.

### **Awardee**

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The SBC receiving an SBIR funding agreement.

### **Commercialization**

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The process of developing marketable products and/or services and producing and delivering products or services for sale (whether by the originating party or by others) to Government and/or commercial markets.

### **Essentially Equivalent Work**

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The "scientific overlap," which occurs when

- (1) substantially the same research is proposed for funding in more than one contract proposal or grant application submitted to the same Federal agency;
- (2) substantially the same research is submitted to two or more different Federal agencies for review and funding consideration; or
- (3) a specific research objective and the research design for accomplishing an objective are the same or closely related in two or more proposals or awards, regardless of the funding source.

### **Extramural Budget**

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The sum of the total obligations for research or research and development minus amounts obligated for research or research and development activities by employees of a Federal agency in or through Government-owned, Government-operated facilities.

### **Feasibility**

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The practical extent to which a project is capable of being successfully performed.

## **Historically Underutilized Business Zone (HUBZone)**

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An SBC meeting the following criteria:

1. Located in a “historically underutilized business zone” or HUBZone area located in one or more of the following:
  - a) A qualified census tract (as defined in section 42(d)(5)(C)(i)(I) of the Internal Revenue Code of 1986;
  - b) A qualified “non-metropolitan county” (as defined in section 143(k)(2)(B) of the Internal Revenue Code of 1986) with a median household income of less than 80 percent of the State median household income or with an unemployment rate of not less than 140 percent of the Statewide average, based on US Department of Labor recent data; or,
  - c) Lands within the boundaries of federally recognized Indian reservations.
2. Owned and controlled by one or more US Citizens; and,
3. At least 35% of its employees must reside in a HUBZone.

## **Innovation**

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Something new or improved, having marketable potential, including (1) development of new technologies, (2) refinement of existing technologies, or (3) development of new applications for existing technologies.

## **Intellectual Property**

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The separate and distinct types of intangible property that are referred to collectively as "intellectual property," including but not limited to: patents, trademarks, copyrights, trade secrets, SBIR technical data (as defined in this section), ideas, designs, know-how, business, technical and research methods, and other types of intangible business assets, and including all types of intangible assets either proposed or generated by an SBC as a result of its participation in the SBIR Program.

## **Joint Venture**

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An association of persons or concerns with interests in any degree or proportion by way of contract, express or implied, consorting to engage in and carry out a single specific business venture for joint profit, for which purpose they combine their efforts, property, money, skill, or knowledge, but not on a continuing or permanent basis for conducting business generally. A joint venture is viewed as a business entity in determining power to control its management, has its own Employer Identification Number as assigned by the Internal Revenue Service, and is eligible under the SBIR Program provided that the entity created qualifies as a "SBC" as defined in this section.

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**Manufacturing-Related**

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Relating to manufacturing processes, equipment and systems; or manufacturing workforce skills and protection (as defined in Executive Order 13329).

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**Principal Investigator/Project Manager**

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The one individual designated by the applicant to provide the scientific and technical direction to the project that will be supported by the funding agreement.

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**Prototype**

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A model of something to be further developed, which includes designs, protocols, questionnaires, software, and devices.

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**Research or Research and Development**

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Any activity that is:

1. A systematic, intensive study directed toward greater knowledge or understanding of the subject studied;
2. A systematic study directed specifically toward applying new knowledge to meet a recognized need; or
3. A systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

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**SBIR Technical Data**

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Means all data generated in the performance of any SBIR funding agreement.

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**SBIR Technical Data Rights**

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The rights an SBC obtains in data generated in the performance of any SBIR funding agreement that an awardee delivers to the Government during or upon completion of a federally funded project, and to which the Government receives a license.

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**Small Business Concern**

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A concern that, on the date of award for both Phase I and Phase II funding agreements:

1. is organized for profit, with a place of business located in the United States, which operates primarily within the United States or which makes a significant contribution to the United States economy through payment of taxes or use of American products, materials or labor;
2. is in the legal form of an individual proprietorship, partnership, limited liability company, corporation, joint venture, association, trust or cooperative, except that where the form is a joint venture (as defined in this section) there can be no more than 49 percent participation by foreign business entities in the joint venture;

3. is at least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States; and,
4. has, including its affiliates, not more than 500 employees.

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**Socially and Economically Disadvantaged Individual**

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A member of any of the following groups:

1. Black Americans;
2. Hispanic Americans;
3. Native Americans;
4. Asian Pacific Americans
5. Subcontinent Asian Americans;
6. Other groups designated from time to time by SBA to be socially disadvantaged; or any other individual found to be socially and economically disadvantaged by SBA pursuant to Section 8(a) of the Small Business Act, 15 U.S. C. 637(a).

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**Subcontract**

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Any agreement, other than one involving an employer/employee relationship, entered into by an awardee of a funding agreement calling for supplies or services required solely for the performance of the original funding agreement.

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**United States**

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Means the 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

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**Woman-Owned Small Business Concern**

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A small business concern that is at least 51 percent owned and operated by a woman or women who also control an operate it. "Control" in this context means exercising the power to make policy decisions. "Operate" in this context means being actively involved in the day-to-day management.

**SECTION E**  
**GRANT APPLICATION**  
**PREPARATION INSTRUCTIONS AND**  
**REQUIREMENTS**

# GRANT APPLICATION PREPARATION INSTRUCTIONS AND REQUIREMENTS

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## APPLICATION REQUIREMENTS

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An application to OSERS/NIDRR under the SBIR program should present a sound approach to the investigation of an important disability, rehabilitation, education, technological, engineering or scientific question that is worthy of support under the stated criteria of this program announcement.

An application should be self-contained and written with the care and thoroughness accorded to papers for publication. The applicant should review the program announcement carefully to ensure that information and data essential for evaluation are included. The scientific and technical merit of the proposed research is the primary concern for all research supported by ED. [NOTE: The number of points weighted to this area is contained in the "Evaluation Criteria."]

The application's research or research and development must be responsive to the OSERS' program objectives, but it should also serve as the base for technological innovation, new commercial products, processes or services, and manufacturing that may benefit the public. Applications must be confined principally to advanced concepts in disability, rehabilitation, educational and assistive technologies, scientific or engineering research or research and development; or manufacturing-related research and development encompassing improvements in existing methods or processes, or wholly new processes, machines or systems.

A firm must not propose market research, patent applications, or litigation. The research may be carried out through construction and evaluation of a laboratory prototype, where necessary.

**Applications primarily for the development of proven concepts toward commercialization or for market research should not be submitted because such efforts are considered the responsibility of the private sector.**

### A. Protection of Information in Applications

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It is ED policy to use information included in applications for evaluation purposes only, and to protect such information from unauthorized use or disclosure. While this policy does not require that the application bear a notice, protection can be assured only to the extent that the "Legend" specified in "Considerations" instructions for "Rights in Data Developed under SBIR Funding Agreements" is applied to those data that constitute trade secrets or to other commercial or financial information that is confidential or privileged. Other information may be afforded protection to the extent permitted by law, but ED assumes no liability for use and disclosure of information to which the "Legend" has not been appropriately applied.

### B. Limitations on Length of Application

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This program announcement is designed to reduce the investment of time and money to small firms in preparing a formal application. Those who wish to respond must submit a SBIR Phase II application narrative of **no more than 50 pages**, *excluding* any supporting documentation



regarding funding commitments (see “**Project Narrative – DOCUMENTATION OF FUNDING/RESOURCE COMMITMENTS.**”); and required forms.

The application must be clear, readily legible, and conform to the following standards:

- A “page” is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides.
- Single space all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch). Standard black type should be used to permit photocopying.
- Draw all graphs, diagrams, tables, and charts in black ink. Do not include glossy photographs, or materials that cannot be photocopied, in the body of the application.

**The Department will reject your application if--**

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

In the interest of equity to all applicants, **all information must be in the 50 pages.** No appendices or attachments (e.g., computer discs, videotapes, etc.), other than the exclusion cited above, may be submitted and, if submitted, they will not be considered in the review of the proposal for scientific and technical merit.

The application should be direct, concise, and informative. Promotional and other discussion not related to the project is discouraged. The application must be primarily directed at research or research and development on the specific

proposed project.

### **C. Phase II Application Guidance**

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**To avoid any misunderstanding, applicants should be aware that applications not satisfying all the required instructions will be returned to the proposing organization without review.**

Those applications may not be resubmitted with or without revision under this program announcement. All copies of the applications not accepted for evaluation will be returned.

1. **REQUIRED FORMS.** Applications for grants under this competition must be submitted electronically using the Electronic Grant Application system (e-Application) accessible through the Department’s e-Grants site (<http://e-grants.ed.gov>). You can receive an exception to the electronic submission requirement.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through e-Application because—

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to e-Application;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal

holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to:

Lynn Medley  
U.S. Department of Education  
400 Maryland Avenue, SW  
Room 6027, Potomac Center Plaza (PC)  
Washington, DC 20202-2700.

Fax: (202) 245-7338.

See Section VIII – Application Transmittal Instructions and Section XI Notice Inviting Applications.

2. **ONLY THE PRIMARY INSTITUTION FILLS OUT THE REQUIRED FORMS.** Any partner or collaborating groups will be a subcontractor to the primary. The only paperwork the subcontractor should complete is that required by the primary institution. You should include a letter of intent in the application from any collaborating group saying that if awarded what goals/duties they will be responsible for and the dollar amount associated with their involvement.

## **SF 424 AND ED SUPPLEMENTAL**

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1. **DUNS #:** You must enter the DUNS number for your organization used when it registered with the Central Contractor Registry.
2. **Applicant and Federal Identifier:** Please leave #4 Applicant Identifier and #5 (A & B) Federal Identifier: blank.
3. **Legal Name:** Block #8a is for the name of institution or entity. **Please note** the CFDA. 84.133S, will automatically populate on Block #11 of the SF 424.
4. **Project Director:** Project director information is on the ED supplemental form in Block #1. You are the person to contact, the project director and the authorized representative.
5. **EO 12372:** Mark Block #19, the EO 12372 as no and not covered.
6. **Human Subjects:** Block #3 on the ED Supplemental. You must include a separate narrative for each site where the research is being conducted. If you check “no”, please include a paragraph of why it is not required.

- **ED Budget Form 524**
  - Include any profit/fee in Line 10 (Indirect Costs). Only columns “(a)” and “(f)” should be completed since the period of performance is for up to 6 months. The fee is not a “cost” and may be used by the small business concern for any purpose, including additional effort under the SBIR award. Therefore, the applicant should enter the request for profit/fee as a separate item in the narrative justification.
- **SF 424B:** Assurances – Non-Construction Programs
- **SF LLL:** Disclosure of Lobbying Activities  
Survey on Ensuring Equal Opportunity for Applicants

## 2. Project Narrative – ABSTRACT, CERTIFICATIONS, STATEMENTS, and LEGEND

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- a) **ABSTRACT.** The applicant should provide an abstract with the following two components. Nothing in this section should be proprietary or confidential. Please upload under the “Abstract”.
- (1) **Technical Abstract** of no more than 200 words.
  - (2) **Summary of Anticipated Results and Potential Commercial Applications** of the research.
- b) **CERTIFICATIONS.** The applicant should respond to the following certifications required by the Small Business Administration.

### **Small Business Certification --**

Does the applicant certify that it is a SBC and meets the definition as stated in the program announcement?

☐ Yes      ☐ No

*[NOTE: The next three (3) items are for statistical purposes only.]*

### **Socially and Economically Disadvantaged SBC Certification --**

Do you qualify as a socially and economically disadvantaged SBC and meet the definition as stated in this program announcement?

☐ Yes      ☐ No

### **Woman-owned SBC Certification --**

Do you qualify as a woman-owned SBC and meet the definition as stated in this program announcement?

☐ Yes      ☐ No

### **HUBZone-owned SBC Certification --**

Do you qualify as a HUBZone-owned SBC and meet the definition as stated in this program announcement?

☐ Yes      ☐ No

*The Web site listed below contains information about the SBA's HUBZone program:*

<http://www.sba.gov/hubzone/>

- c) **STATEMENTS.** The applicant should respond to the following statements required by the Small Business Administration.

**Duplicate Research Statement --**

Has the applicant and/or Principal Investigator submitted applications/proposals for essentially equivalent work under other Federal program announcements or received other Federal awards for essentially equivalent work?

☐ Yes      ☐ No

If yes, identify applications/proposals and/or awards in "Project Narrative – RELATED APPLICATION(S) or AWARD(S)."

**Disclosure Permission Statement –**

Will you permit the Government to disclose the title and technical abstract page of your proposed project, plus the name, address, and telephone number of the corporate official of your firm, if your application does not result in an award, to concerns that may be interested in contacting you for further information?

☐ Yes      ☐ No

- d) **LEGEND for PROPRIETARY INFORMATION.** Information contained in unsuccessful applications will remain the property of the applicant. The Government may, however, retain copies of all applications. Public release of information in any application submitted will be subject to existing statutory and regulatory requirements.

If proprietary information provided by an applicant in an application, which constitutes a trade secret, proprietary commercial or financial information, confidential personal information, or data affecting the national security, it will be treated in confidence, to the extent permitted by law. This information **must** be clearly marked by the applicant with the term "**confidential proprietary information**" and the following **legend must** appear in this section of the application:

"These data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of this application. If a funding agreement is awarded to this applicant as a result of or in connection with the submission of these data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the funding agreement and pursuant to applicable law. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages \_\_\_\_\_ of this application."

Any other legend may be unacceptable to the Government and may constitute grounds for removing the application from further consideration, without assuming any liability for inadvertent disclosure. The Government will limit dissemination of such information to/within official channels.

### 3. Project Narrative – TECHNICAL CONTENT

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The subcategories of this section directly correspond to the “Evaluation Criteria” listed in this Program Announcement. Please up-load under the “Project Narrative” in e-grants.

a) **Significance:**

- i) Identification and Significance of the Problem or Opportunity. Make a clear statement of the specific research problem or opportunity addressed and why it is important.
- ii) Related Research or Research and Development. Describe significant research or research and development that is directly related to the application, including any conducted by the principal investigator or by the applicant’s firm. Describe how it relates to the proposed effort, and describe any planned coordination with outside sources. The purpose of this section is to persuade reviewers of the applicant’s awareness of key recent developments in the specific priority area. It should also demonstrate that the proposed research differs significantly from existing technologies and does not substantially duplicate any ongoing or previous research by the small business or other researchers.

b) **Quality of the Project Design:**

- i) Phase II Technical Objectives. State the specific objectives of the Phase II research or research and development effort. The purpose is to demonstrate that the objectives are appropriate for a two-year research and development period.
- ii) Phase I Results. Present a synopsis of the Phase I results. This should constitute a discussion of the overall background and technical approach, indicating how work accomplished in Phase I promises to lead to success in Phase II. The applicant should provide sufficient detail to demonstrate the level of accomplishment and the extent to which it shows that the Phase II effort is based on a feasible idea. *Do **not** assume that the reviewers have read the Phase I final report.*
- iii) Phase II Work Plan. Include a detailed description of the Phase II research and development plan. The plan should indicate not only what will be done, but also how the research and development will be carried out. The adequacy of the work plan (and schedule) will be considered. Phase II research and development should address the technical objectives cited above. The methods planned to achieve each objective or task should be discussed in detail. The applicant should provide sufficient detail to indicate how the research objectives will be investigated.

**THE “WORK PLAN” SHOULD BE AT LEAST ONE-THIRD OF THE APPLICATION.**

- iv) Human Subjects in Research. ***If applicable***, include a narrative of human subject involvement. Projects involving research on human subjects will require grantee compliance with the Department of Education's Protection of Human Subjects Regulations, 34 CFR Part 97. Copies of the Department of Education's regulations for the Protection of Human Subjects are available from:

Grants Policy and Oversight Staff (GPOS)  
Office of the Chief Financial Officer  
400 Maryland Avenue SW  
Washington, DC 20202-4248  
(202) 401-0085

This information is also available on the ED website at:

<http://www.ed.gov/about/offices/list/ocfo/humansub.html>

For a quick overview, see in particular "Information about the Protection of Human Subjects in Research Supported by the Department -- Overview."

Please give thorough consideration for the need of any human subject involvement in the Phase II research and development work. All human subjects in research issues **MUST** be resolved prior to a grant award.

**Unless all the proposed human subjects research meets one or more of the regulation's exemptions**, awardees involving human subjects will be requested to file an "Assurance of Compliance with the Regulations" and have the project's research protocol reviewed and approved by an Institutional Review Board (IRB). The costs related to obtaining required Institutional Review Board reviews can be included as a direct cost, provided the costs are necessary and reasonable.

**YOU DO **NOT** NEED AN ASSURANCE OR IRB APPROVAL AS A CONDITION OF APPLYING FOR THIS AWARD.**

- v) Protection of Pupil Rights Amendment (PPRA). This grant is subject to the Protection of Pupil Rights Amendment (PPRA), 20 U.S.C. 1232h, 34 CFR Part 98. PPRA is a law that governs the administration of certain Department-funded surveys. The law provides that a school district must obtain the prior written consent of a parent if the district "requires" a student to take a survey, i.e., the survey is not voluntary. In addition, the PPRA only applies to a survey if the survey asks certain types of questions (e.g., questions that reveal information about illegal behavior, psychological problems potentially embarrassing to the student, or sex behavior and attitudes). Grantees should be aware of the requirements of PPRA if they plan to use Departmental funds to develop surveys for elementary or secondary school students.

For additional information or technical assistance, you may call (202) 260-3887 (voice). Individuals who use TDD may call the Federal Information Relay Service at 1-800-877-8339. Or you may contact us at the following address:

Family Policy Compliance Office  
U.S. Department of Education  
400 Maryland Avenue, SW  
Washington, DC 20202-4605

Information is also available on the ED Web site at:

[www.ed.gov/policy/gen/guid/fpcg](http://www.ed.gov/policy/gen/guid/fpcg)

- vi) Commercialization Plan. All Phase II applications must include a succinct Commercialization Plan. The Commercialization Plan is limited to 10 pages. There is no requirement for applicants to use the maximum allowable pages allotted to the Commercialization Plan. Provide a description in each of the following areas:
- 1) Project Value, Expected Outcomes, and Impact. Describe, in layperson's terms, the proposed project and its key technology objectives. Clarify the need addressed, specifying weaknesses in the current approaches to meet this need. In addition, describe the commercial applications of the research and the innovation inherent in this application. Be sure to also specify the potential societal, educational, and/or scientific benefits of this work. Explain the non-commercial impacts to the overall significance of the project. Explain how the SBIR project integrates with the overall business plan of the company.
  - 2) Company. Give a brief description of your company including corporate objectives, core competencies, present size (annual sales level and number and types of employees), history of previous Federal and non-Federal funding, regulatory experience, and subsequent commercialization, and any current products/services that have significant sales. Include a short description of the origins of the company. Indicate your vision for the future, how you will grow/maintain a sustainable business entity, and how you will meet critical management functions as your company evolves from a small technology research and development business to a successful commercial entity.
  - 3) Market, Customer, and Competition. Describe the market and/or market segments you are targeting and provide a brief profile of the potential customer. Tell what significant advantages your innovation will bring to the market, e.g., better performance, lower cost, faster, more efficient or effective, new capability. Explain the hurdles you will have to overcome in order to gain market/customer acceptance of your innovation. Describe any strategic alliances, partnerships, or licensing agreements you have in place and to market and sell your product. Briefly describe your marketing and sales strategy. Give an overview of the current competitive landscape and any potential competitors over the next several years. (It is very important that you understand and know the competition.)

- 4) Intellectual Property (IP) Protection. Describe how you are going to protect the IP that results from your innovation. Also note other actions you may consider taking that will constitute at least a temporal barrier to others aiming to provide a solution similar to yours.
- 5) Finance Plan. Describe the necessary financing you will require, and when it will be required, as well as your plans to raise the requisite financing to launch your innovation into Phase III and begin the revenue stream. Plans for this financing stage may be demonstrated in one or more of the following ways:
  - Letter of commitment of funding.
  - Letter of intent or evidence of negotiations to provide funding, should the Phase II project be successful and the market need still exist.
  - Letter of support for the project and/or some in-kind commitment, e.g., to test or evaluate the innovation.
  - Specific steps you are going to take to secure Phase III funding.
- 6) Production and Marketing Plan. Describe how the production of your product/ service will occur (e.g., in-house manufacturing, contract manufacturing). Describe the steps you will take to market and sell your product/service. For example, explain plans for licensing, Internet sales, etc.
- 7) Revenue Stream. Explain how you plan to generate a revenue stream for your company should this project be a success. Examples of revenue stream generation include, but are not limited to, manufacture and direct sales, sales through value added resellers or other distributors, joint venture, licensing, service. Describe how your staffing will change to meet your revenue expectations.

Applicants are encouraged to seek commitment(s) of funds and/or resources from an investor or partner organization for commercialization of the product(s) or service(s) resulting from the SBIR award.

Your Phase III funding may be from any of a number of different sources including, but not limited to: SBIR firm itself; private investors or "angels"; venture capital firms; investment companies; joint ventures; RESEARCH AND DEVELOPMENT limited partnerships; strategic alliances; research contracts; sales of prototypes (built as part of this project); public offering; state finance programs; non SBIR-funded RESEARCH AND DEVELOPMENT or production commitments from a Federal agency with the intention that the results will be used by the United States government; or other industrial firms.

Documentation of such commitments should be included in the component "Project Narrative – DOCUMENTATION OF FUNDING/RESOURCE COMMITMENTS."



c) **Quality of Project Personnel:**

- i) Key Personnel and Bibliography of Directly Related Work. Identify key personnel involved in Phase II, including their education and directly related experience, or writings. Where vitae are extensive, summaries that focus on the most relevant experience or publications are desired. Such summaries may be necessary to meet the application size limitation. Also list all other commitments that senior personnel have during the proposed period of performance. It must be clear that the principal investigator will work more than half-time for the small business concern and that the firm will conduct a minimum of one-half of the research effort.
- ii) Consultants. Involvement of consultants in the planning and research stages of the project is permitted. If such involvement is intended, it should be described in detail. *[NOTE: See "Considerations" section for "Subcontracting Limits."]*

d) **Adequacy of Resources:**

- i. Facilities and Equipment:  
The conduct of advanced research may require the use of sophisticated instrumentation or computer facilities. The applicant should provide a detailed description of the availability and location of the facilities and equipment necessary to carry out Phase II.
- ii. Budget:  
Use Budget Summary form (ED Form 524), to present a complete budget summary for the proposed project dates. Questions pertaining to this area can be discussed with the Grants Management Contacts listed in the "Contacts" section.

Please provide a justification for this budget by including a detailed narrative description for each budget line item for each budget year. Attach this to the Budget Narrative form in e-grants.

- 1) List all **key personnel** by name as well as by number of hours assigned to the project.
- 2) **Equipment** may be included in the Phase II budget. The inclusion of equipment will be carefully reviewed relative to need and appropriateness for the research proposed. Equipment is defined as an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost of \$1,000 or more per unit. *[NOTE: Title to equipment will be vested with ED unless it is determined that transfer of title to the applicant would be more cost effective than recovery of the equipment by ED.]*
- 3) Budgets for **travel funds** must be justified and related to the needs of the project.
- 4) **Cost sharing** is permitted for proposals under this solicitation. Phase II budgets should **not exceed \$500,000 for a two-year project**, including subcontracts, indirect costs and fees, but excluding any proposed cost sharing.
- 5) The SBA has stated that SBIR funding agencies are to provide for a **reasonable** fee or profit on SBIR funding agreements, including grants,

**consistent with normal profit margins provided to profit-making firms for research or research and development work (SBIR “Policy Directive”).**

4) **Project Narrative – RELATED APPLICATION(S) or AWARD(S).**

If an applicant elects to submit identical applications or applications containing a significant amount of essentially equivalent work under other Federal program announcements, **a statement must be included** in this application indicating (Please up-load this information under “Other Attachments” in e-grants):

- a) The name and address of agencies to which application(s) was/were submitted or from which SBIR award(s) was/were received.
- b) The date(s) of application submission and date(s) of award.
- c) The title, number and date of SBIR program announcement under which application(s) was/were submitted or award(s) received.
- d) The applicable research priority in the program announcement for each SBIR application submitted or award received.
- e) The titles of research projects.
- f) The name and title of the principal investigator for each application submitted or award received.

**WARNING**

**While it is permissible, with application notification, to submit identical or essentially equivalent applications for consideration under numerous Federal program announcements, it is unlawful to enter into funding agreements requiring essentially equivalent effort.**

**If there is any question concerning this it must be disclosed to the soliciting agency or agencies before award.**

5) **Project Narrative – DOCUMENTATION OF FUNDING/RESOURCE COMMITMENTS.**

Include any documentation of funds and/or resources commitment(s) from an investor or partner organization for commercialization of the product(s) or service(s) resulting from the SBIR award referenced in the Commercialization Plan.

*[This required information **will not be** counted toward the application limitation of 50 pages.]*

## DUNS NUMBER INSTRUCTIONS

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**NOTE:** Check with your fiscal office to see if your institution has an assigned DUNS before contacting Dun & Bradstreet

**D-U-N-S No.:** Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

[http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

Note: Electronic submission via e-grants must use DUNS number your organization used when it registered in the Central Contractor Registry.

# **SECTION F**

## **METHOD OF SELECTION AND EVALUATION CRITERIA**

# METHOD OF SELECTION AND EVALUATION CRITERIA

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## INTRODUCTION

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Phase II applications will be judged on a competitive basis.

1. All applications will be **screened** to confirm that the required instructions were completed. Those applications not satisfying all the required instructions will be returned to the proposing organization without review.
2. Persons who are experts in the priority areas will evaluate applications meeting those requirements. Reviewers will include people outside the Federal Government. Each application will be judged on its own merit, according to the review criteria described below.

**The Department of Education will make awards based upon these evaluation criteria and the availability of funds.** In the evaluation and handling of applications, the Department will make every effort to protect the confidentiality of the application and any evaluations.

## EVALUATION CRITERIA FOR PHASE II

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The Secretary selects the following selection criteria in 34 CFR 75.210 to evaluate applications for new grants under this competition. The criteria below will receive the following weights. The maximum score for all of these criteria is 100 points. The weight for each criterion is indicated in parentheses. The Department of Education will make awards based upon these evaluation criteria and the availability of funds.

### **1. Significance.....(15 points)**

(5 points).....The significance of the problem or issue to be addressed by the proposed project.

(5 points).....The likely utility of the products that will result from the proposed project, including the potential for their being used effectively in a variety of other settings.

(5 points).....The importance or magnitude of the results or outcomes likely to be attained by the proposed project.

### **2. Quality of the Project Design.....(60 points)**

(10 points).....The extent to which the goals, objectives and outcomes to be achieved by the proposed project are clearly specified and measurable.

(10 points).....The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

- (10 points).....The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework.
- (10 points).....The extent to which the design of the proposed project includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives.
- (10 points).....The quality of the methodology to be employed in the proposed project.
- (10 points).....The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.

### **3. Quality of Project Personnel.....(15 points)**

- (5 points).....The qualifications, including relevant training and experience, of the project director or principal investigator.
- (5 points).....The qualifications, including relevant training and experience, of key project personnel.
- (5 points).....The qualifications, including relevant training and experience, of project consultants or subcontractors.

### **4. Adequacy of Resources.....(10 points)**

- (4 points).....The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.
- (2 points).....The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.
- (2 points).....The extent to which the budget is adequate to support the proposed project.
- (2 points).....The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

### **RELEASE OF GRANT APPLICATION REVIEW INFORMATION**

**After final award decisions are made the Principal Investigator will be sent the technical evaluations.** No one other than the Principal Investigator (and appropriate ED staff) may receive the technical evaluations.

Applicants normally receive their evaluations within six to eight weeks following the announcement of the awards. The identity of the reviewers will not be disclosed.

# **SECTION G**

## **CONSIDERATIONS**

## CONSIDERATIONS

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### A. REPORTS

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Awardees are required to submit a final Phase II “Performance Report” to the NIDRR Contractor upon completion of the Phase II work. In the final performance report, grantees are required to include a comparison of actual accomplishments with the goals and objectives established for the period, the findings of the investigator, or both. Whenever appropriate and the output of programs or projects can be readily quantified, this quantitative data should be related to cost data for computation of unit costs. Reasons why established goals were not met, if appropriate.

This reporting mechanism is used to demonstrate that substantial progress has been made toward meeting the project objectives. Grantees are required to complete Project Objectives Information and Related Performance Measures Data (**ED 524B - Project Status Chart**), outlining specific project objectives identified and supported with project performance measures data and an explanation of progress. The information received in the final performance report will provide the Department of Education (ED) with documentation that will be used to determine whether recipients have made satisfactory progress.

Final reports must also include information about the budget and an explanation about budget expenditures. In addition, Phase II grantees must respond to the following: (1) describe how the progress made in Phase II will impact the manufacturing sector; (2) describe and provide evidence as to how the work accomplished in Phase II contributes to manufacturing or manufacturing related processes, equipment and systems; or workforce skills and protection; and (3) elaborate on the public benefits (e.g., social and economic) resulting from the progress made in Phase II.

### B. GOVERNMENT PERFORMANCE AND RESULTS ACT

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The Government Performance and Results Act (GPRA) of 1993 places new management expectations and requirements on Federal departments and agencies by creating a framework for more effective planning, budgeting, program evaluation, and fiscal accountability for Federal programs. The intent of the Act is to improve public confidence by holding departments and agencies accountable for achieving program results. Departments and agencies should clearly describe the goals and objectives of their programs, identify resources and actions needed to accomplish these goals and objectives, develop a means of measuring progress made, and regularly report on their achievement.

The purpose of the SBIR program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation. Grantees are required to report on the progress of their work throughout the award period and submit final reports to the U.S. Department of Education.



## **C. INNOVATIONS, INVENTIONS AND PATENTS**

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### **1. Rights in Data Developed Under SBIR Funding Agreements**

To preserve the SBIR data rights of the awardee, the Legend (or statements) used in the SBIR Data Rights clause included in the SBIR award must be affixed to any submissions of technical data developed under that SBIR award. If no Data Rights clause is included in the SBIR award, the following legend, at a minimum, should be affixed to any data submissions under that award.

#### **LEGEND**

These SBIR data are furnished with SBIR rights under Funding Agreement No. \_\_\_\_\_ (and subcontract No. \_\_\_\_\_ if appropriate), Awardee Name \_\_\_\_\_, Address, Expiration Period of SBIR Data Rights \_\_\_\_\_. The Government may not use, modify, reproduce, release, perform, display, or disclose technical data or computer software marked with this legend for (choose four (4) or five (5) years). After expiration of the (4- or 5-year period), the Government has a royalty-free license to use, and to authorize others to use on its behalf, these data for Government purposes, and is relieved of all disclosure prohibitions and assumes no liability for unauthorized use of these data by third parties, except that any such data that is also protected and referenced under a subsequent SBIR award shall remain protected through the protection period of that subsequent SBIR award. Reproductions of these data or software must include this legend.”

### **2. Copyrights**

With prior written permission of the Education Program Contact, the awardee normally may copyright and publish (consistent with appropriate national security considerations, if any) material developed with ED support. The Department of Education receives a royalty-free license for the Federal Government and requires that each publication contain an appropriate acknowledgment and disclaimer statement.

### **3. Patents**

Small business firms normally may retain the principal worldwide patent rights to any invention developed with Government support. The Government receives a royalty-free license for Federal Government use, reserves the right to require the patent holder to license others in certain circumstances, and requires that anyone exclusively licensed to sell the invention in the United States must normally manufacture it domestically. To the extent authorized by 35 U.S.C. 205, the Government will not make public any information disclosing a Government-supported invention for a 4 year period (that may be extended by subsequent SBIR funding agreements) to allow the awardee a reasonable time to pursue a patent.

## **D. SUBCONTRACTING LIMITS – RESEARCH AND ANALYTICAL WORK**

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For **Phase II**, at least **one-half** of the research and/or analytic effort must be performed by the proposing small business concern unless otherwise approved in writing by the funding agreement officer after consultation with the agency SBIR Program Manager/Coordinator.

## **E. JOINT VENTURES OR LIMITED PARTNERSHIPS**

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Joint ventures and limited partnerships are permitted provided that the entity created qualifies as a small business concern as defined in this program announcement.

## **F. COST-SHARING**

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Cost sharing is permitted for applications under this program announcement; however, cost sharing is not required. Cost sharing will not be an evaluation factor in consideration of your Phase II application.

## **G. PROFIT/FEE**

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Phase II grants may include a reasonable fee or profit on SBIR funding agreements, consistent with normal profit margins provided to profit-making firms for research or research and development work.

## **H. AMERICAN MADE EQUIPMENT AND PRODUCTS**

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When purchasing equipment or a product under the SBIR funding agreement, purchase only American-made items whenever possible.

## **I. STANDARD TERMS AND CONDITIONS**

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Upon acceptance of an award, the grantee must comply with the terms and conditions contained or referenced in the Notice of Award document. These terms and conditions, constituting legal requirements, are imposed on an awardee by statute, regulations, administrative policy, or the award document itself.

## **J. ADDITIONAL INFORMATION**

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1. This program announcement is intended for informational purposes and reflects current planning. If there is an inconsistency between the information contained herein and the terms of any resulting SBIR funding agreement, then the terms of the funding agreement are controlling.
2. In the interests of those with special needs, the applicant is encouraged to develop products that include alternate formats (e.g., closed- or open-captioning for films and/or videotapes, Braille, large print, audiotape).
3. The SBIR program is not a substitute for existing unsolicited application mechanisms. The Government shall not accept unsolicited applications under the SBIR program in either Phase I or Phase II.
4. If an award is made pursuant to an application submitted under this program announcement, the grantee will be required to certify that he or she has not previously been, nor is currently being, paid for essentially equivalent work by any agency of the Federal Government.

# **SECTION H**

## **APPLICATION TRANSMITTAL**

### **INSTRUCTIONS**

## APPLICATION TRANSMITTAL INSTRUCTIONS

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**PLEASE NOTE:** Applications Under This Competition Must Be Submitted Electronically Using the Electronic Grant Application System (e-Application) Accessible through the Department's e-Grants Site. ([HTTP//E-GRANTS.ED.GOV](http://E-GRANTS.ED.GOV))

### SUBMISSION OF PAPER APPLICATIONS BY MAIL.

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If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.133S-2)  
LBJ Basement Level 1  
400 Maryland Avenue, SW  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

**Note:** The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

**SUBMISSION OF PAPER APPLICATIONS BY HAND DELIVERY.**

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If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.133S-1)  
550 12th Street, SW  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

**NOTE FOR MAIL OR HAND DELIVERY OF PAPER APPLICATIONS:**

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If you mail or hand deliver your application to the Department—

- (1) You must indicate on the envelope and — if not provided by the Department — in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
- (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this grant notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

# **SECTION I**

## **SCIENTIFIC AND TECHNICAL INFORMATION SOURCES**

## SCIENTIFIC AND TECHNICAL INFORMATION SOURCES

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Certain sources can provide information that can be useful in preparing SBIR applications. The Internet sites listed below can provide you with helpful material and links to other sites.

### SBIR PROGRAM-RELATED

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SBIR State Support Entities..... [www.ed.gov/programs/sbir](http://www.ed.gov/programs/sbir)  
(historical information)

Small Business Administration (SBA), Office of Technology (SBIR)..... [www.sba.gov/sbir](http://www.sba.gov/sbir)

### OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES (OSERS)

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OSERS Home Page..... [www.ed.gov/about/offices/list/osers](http://www.ed.gov/about/offices/list/osers)

National Institute on Disability and  
Rehabilitation Research..... [www.ed.gov/about/offices/list/osers/nidrr](http://www.ed.gov/about/offices/list/osers/nidrr)

National Center for the Dissemination of Disability Research ..... [www.ncddr.org](http://www.ncddr.org)

National Rehabilitation Information Center..... [www.naric.com](http://www.naric.com)

### GENERAL

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U.S. Department of Education ..... [www.ed.gov](http://www.ed.gov)

U.S. Department of Education General Administrative Regulations  
(EDGAR) ..... [www.ed.gov/policy/fund/reg/edgarReg/edgar.html](http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html)

E-Applications..... <http://e-grants.ed.gov>

U.S. Department of Education  
Grant Application and Other Forms ..... [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html)

U.S. Department of Education  
Technology Initiatives ..... [www.ed.gov/about/offices/list/os/technology](http://www.ed.gov/about/offices/list/os/technology)

Small Business Administration (SBA)  
Technical Resources Network (TECH-Net) ..... <http://web.sba.gov/tech-net>

# **SECTION J**

## **GRANT APPLICATION**

### **PACKAGE CHECKLIST**



# GRANT APPLICATION PACKAGE CHECKLIST

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CLOSING DATE: MAY 17, 2010

## CHECK:

- ☐ Have you prepared the application according to the “**type size**” and “**format**” standards that must be observed throughout the application?
- ☐ Does the application contain **no more than 50 pages**, excluding any supporting documentation regarding funding commitments (see “Project Narrative – DOCUMENTATION OF FUNDING/RESOURCE COMMITMENTS”); and required forms? The project narrative should be up-loaded under the “Project Narrative” in e- grants.ed.gov
- ☐ Has the **SF Standard Form 424** been completed according to the instructions?
- ☐ Are issues (and, if applicable, exemptions) relating to **Research Activities Involving Human Subjects** adequately addressed in item 3 of the **ED Standard Form 424**?
- ☐ Has the **Budget Summary Form (ED Form 524)**, been completed according to the instructions? The budget narrative should be up-loaded under the “Budget Narrative” in e-grants.ed.gov.
- ☐ Have you included IN THE ABSTRACT FORM SECTION all the required components of the “**Project Narrative -- ABSTRACT**” section? This section should be up-loaded under the “Abstract” in e-grants.ed.gov.
  - Abstracts;
  - Certifications;
  - Statements; and,
  - Legend
- ☐ Have you addressed each of the components of the “**Project Narrative – TECHNICAL CONTENT**” IN THE NARRATIVE? Including –
  - Significance;
  - Quality of Project Design;
  - Quality of Project Personnel; and,
  - Adequacy of Resources

The project narrative should be up-loaded under “Project Narrative” in e-grants.ed.gov.
- ☐ Is the Phase II “Work Plan” at least one-third of the application?
- ☐ Have you included a succinct “**Commercialization Plan**”?

# **SECTION K**

## **REQUIRED FORMS**

## APPLICATION FORMS

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Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants help desk on 1-888-336-8930.

The application format for the SBIR Phase I Program is as follows:

**Part I** Federal Assistance Application Face Page (SF 424)  
ED Supplemental

**Part II** Table of Contents  
Abstract  
Project/Application Narrative  
Other – Resumes/Vitae  
Other – Letters of Commitment/Support  
Other  
Budget Information

Application pages should be consecutively numbered.

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

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If you fail to receive the notification of application within fifteen (15) days from the closing date, call:

U.S. Department of Education  
Application Control Center  
(202) 245-6288

## **GRANT AND CONTRACT FUNDING INFORMATION**

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The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page     [www.ed.gov](http://www.ed.gov)     (WWW address)